

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:

Paul Rafferty, David Calderwood, Lee Arnold, Beatriz Gonzalez Pascual, Jose L. Ortego Martinez, Maria J. Perez de Vega and Isabel Fernandez

Application No.:

09/585,925

Group: 1614

Filed:

June 2, 2000

Examiner: Not assigned

For:

Benzothiazinone and Benzoxazinone Compounds

| CERTIFICATE OF MAILING | |
|---|---------------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 | |
| on <u>9-6-00</u> | <u>Deborah J. Englund</u> |
| Date | Signature |
| <u>Deborah J. Englund</u> | |
| Typed or printed name of person signing certificate | |

REPLY TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In reply to the Notice to File Missing Parts dated August 15, 2000, the following documents and fees are being submitted for filing in the captioned application:

[X] **EXECUTED DECLARATION/POWER OF ATTORNEY** - A copy of the Notice is attached.

(Separate transmittal letter and postcard not required)

[X] **FILING FEE** - with Fee Transmittal for Patent Applications in duplicate.

(Separate transmittal letter and postcard not required)

[X] **SURCHARGE** - surcharge fee of \$130.00.

(Separate transmittal letter and postcard not required)

[] **SEQUENCE LISTING** - Filed concurrently and is attached.

(Separate transmittal letter and postcard required)

☐ **PETITION FOR EXTENSION OF TIME**

☐ Applicant hereby petitions to extend the time to respond to the Notice to File Missing Parts dated [] for [] month(s) from [] to [].
The appropriate fee of \$[] is included in the enclosed check.

☐ A [] month extension of time to respond to the Notice to File Missing Parts dated [] was filed on [] with payment of a \$[] fee.

☐ Applicant hereby petitions for an additional [] month extension of time to respond to the Notice to File Missing Parts. The appropriate fee of \$[] is included in the enclosed check.

(Separate Petition for Extension of Time and postcard not required)

☒ **REQUEST FOR CORRECTED FILING RECEIPT** - Filed concurrently and is attached.

(Separate transmittal letter and postcard required)

☐ **VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS**

☐ Was filed on [].

☐ Is enclosed herewith.

(Separate transmittal letter and postcard not required)

☐ In view of the small entity status of the captioned application, we hereby request a reimbursement of 50% of the filing fees in the amount of \$[] which were paid on [] to be deposited in Deposit Account No. 08-0380.

The fees required for filing the indicated documents are enclosed in the form of a check in the total amount of \$1,342.00. Please charge any deficiency or credit any overpayment in the fees that may be due in this matter to Deposit Account No. 08-0380. A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By Theresa A. Devlin
Theresa A. Devlin
Registration No.: 45,361
Tel.: (781) 861-6240
Fax: (781) 861-9540

Lexington, Massachusetts 02421-4799

Date: 9/6/00

SEP 08 2000

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

FEE TRANSMITTAL FOR
PATENT APPLICATIONS

Attorney Docket Number

2079.1024008

Application Number

09/585,925

First Named Inventor

Paul Rafferty

CLAIM CALCULATION (includes any preliminary amendment)

| CLAIMS | (1) FOR | (2) NUMBER FILED | (3) NUMBER EXTRA | (4) RATE | (5) CALCULATIONS |
|--------|---|------------------|------------------|--------------------------------------|------------------|
| | TOTAL CLAIMS (37 CFR 1.16(c) or (j)) | 36 - 20* = | 16 | x \$ 18 = | \$ 288 |
| | INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i)) | 6 - 3** = | 3 | x \$ 78 = | \$ 234 |
| | MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d)) | | | + \$ 260 = | \$ |
| | | | | BASIC FEE (37 CFR 1.16(a) or (h)) | \$ 690 |
| | | | | Total of above Calculations = | \$ 1212 |
| | Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27, 1.28) = | | | | \$ |
| | TOTAL = | | | | \$ 1212 |
| | Surcharge - Late Filing of Declaration or Filing Fees (37 C.F.R. 1.16(e)) = | | | | \$ 130 |
| | Petition for Extension of Time Fee (37 C.F.R. 1.17) = | | | | \$ |
| | Assignment Recordation Fee = (only when filed with application) | | | | \$ |
| | * Reissue claims in excess of 20 and over original patent ** Reissue independent claims over original patent | | | TOTAL = | \$ 1342 |

1. Small entity status:

- a. ☐ A small entity statement is enclosed.
- b. ☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

2. ☒ A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

3. ☒ A check is enclosed for \$1,342.00. ☐ Please charge \$[] to Deposit Account No. 08-0380.

4. ☐ Other: _____

Signature

Theresa A. Devlin

Date

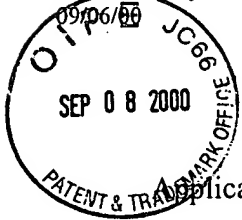
9/6/00

Submitted by
Typed or Printed Name

Theresa A. Devlin

Reg. Number

45,361



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:

Paul Rafferty, David Calderwood, Lee Arnold, Beatriz Gonzalez
Pascual, Jose L. Ortego Martinez, Maria J. Perez de Vega and
Isabel Fernandez

Application No.:

09/585,925

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June 2, 2000

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Benzothiazinone and Benzoxazinone Compounds

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| on <u>9-6-00</u> | <u>Deborah J. Englund</u> |
| Date | Signature |
| <u>Deborah J. Englund</u> | |
| Typed or printed name of person signing certificate | |

REQUEST FOR CORRECTED FILING RECEIPT
FOR UTILITY APPLICATION

Office of Initial Patent Examination
Customer Service Center
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

We hereby request that the following items of information be corrected in/added to the Filing Receipt for the subject application received in this office on August 21, 2000.

A concurrently filed Declaration/Power of Attorney is submitted herewith.

The errors and corrections appear below.

In the Applicant(s) section,

Please delete --Residence Not Provided-- and insert Nottingham, England

In the Applicant(s) section,

Please add the following applicants and addresses:

David Calderwood, Nottingham, England;

Lee Arnold, Westborough, Massachusetts;

Beatriz Gonzalez Pascual, Madrid, Spain;

Jose L. Ortego Martinez, Madrid, Spain;

Maria J. Perez de Vega, Madrid, Spain;

Isabel Fernandez, Madrid, Spain.

In the Independent Claims, please delete ---16--- and insert "6"

Enclosed are a copy of the Filing Receipt with changes noted in red, and a copy of the Declaration/Power of Attorney.

Pursuant to instructions in the February 29, 2000 O.G., we hereby request that the errors which are identified above be corrected in the captioned application to which this request for correction is directed. It is understood that the Patent Office will issue an automatically-generated, corrected Filing Receipt in this and, if applicable, any other affected applications.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By Theresa A. Devlin

Theresa A. Devlin

Registration No.: 45,361

Telephone: (781) 861-6240

Facsimile: (781) 861-9540

Lexington, MA 02421-4799

Date: 9/6/00



FILING RECEIPT



OC000000005323962


UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

 Address: ASSISTANT SECRETARY AND
 COMMISSIONER OF PATENT AND TRADEMARKS
 Washington, D.C. 20231

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/585,925 | 06/02/2000 | 1614 | 0 | 2079.1024008 | - | 36 | 166 |

 Richard W Wagner Esq
 Hamilton Brook Smith & Reynolds P C
 Two Militia Drive
 Lexington, MA 02421-4799

Date Mailed: 08/15/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)
 Nottingham, England
 Paul Rafferty, Residence Not Provided;
Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/137,410 06/03/1999

Foreign Applications
 David Calderwood, Nottingham, England;
 Lee Arnold, Westborough, Massachusetts;
 Beatriz Gonzalez Pascual, Madrid, Spain;
 Jose L. Ortego Martinez, Madrid Spain;
 Maria J. Perez de Vega, Madrid, Spain;
 Isabel Fernandez, Madrid, Spain

If Required, Foreign Filing License Granted 08/15/2000

Title

Benzothiazinone and benzoxazinone compounds

Preliminary Class

514

Data entry by : RIVERS, ANNETTE

Team : OIPE

Date: 08/15/2000





SECTION 12

PATENT APPLICATION
Docket No.: 2079.1024008

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Paul Rafferty, David Calderwood, Lee Arnold, Beatriz Gonzalez
Pascual, Jose L. Ortego Martinez, Maria J. Perez de Vega and
Isabel Fernandez

Application No.: 09/585,925 Group: 1614

Filed: June 2, 2000 Examiner: Not assigned

For: Benzothiazinone and Benzoxazinone Compounds

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231

on 9-6-00 Deborah J. Englund
Date Signature

Deborah J. Englund
Typed or printed name of person signing certificate

REPLY TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In reply to the Notice to File Missing Parts dated August 15, 2000, the following documents and fees are being submitted for filing in the captioned application:

- [X] **EXECUTED DECLARATION/POWER OF ATTORNEY** - A copy of the Notice is attached.
(Separate transmittal letter and postcard not required)
- [X] **FILING FEE** - with Fee Transmittal for Patent Applications in duplicate.
(Separate transmittal letter and postcard not required)
- [X] **SURCHARGE** - surcharge fee of \$130.00.
(Separate transmittal letter and postcard not required)
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(Separate transmittal letter and postcard required)

☐ **VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS**

☐ Was filed on [].

☐ Is enclosed herewith.

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Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By Theresa A. Devlin

Theresa A. Devlin

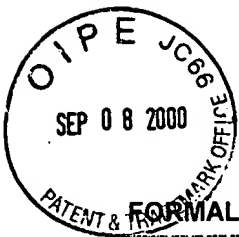
Registration No.: 45,361

Tel.: (781) 861-6240

Fax: (781) 861-9540

Lexington, Massachusetts 02421-4799

Date: 9/6/00



FORMALITIES LETTER



OC000000005323963

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

#3

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/585,925 | 06/02/2000 | Paul Rafferty | 2079.1024008 |

Richard W Wagner Esq
Hamilton Brook Smith & Reynolds P C
Two Militia Drive
Lexington, MA 02421-4799

Date Mailed: 08/15/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1302.
 - \$288 for 16 total claims over 20.
 - \$1014 for 13 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 2122.**

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/11/2000 SDEN001 00000016 09585925
01 FC:101 690.00
02 FC:102 234.00
03 FC:103 288.00
04 FC:105 130.00